

3621
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TRANSMITTAL FORM

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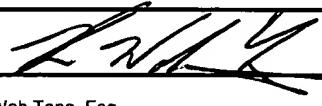
Total Number of Pages in This Submission

Application Number	09/944,788
Filing Date	August 31, 2001
First Named Inventor	de Jesus Valdes, et al.
Art Unit	3621
Examiner Name	Sherr, Cristina
Total Number of Pages in This Submission	10454-022001/P-4190-4 (SRI/4190-4)

ENCLOSURES (check all that apply)

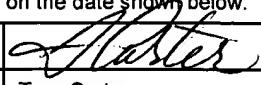
<input type="checkbox"/> Fee Transmittal Form <input type="checkbox"/> Fee Attached <input type="checkbox"/> Amendment / Reply <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input type="checkbox"/> Information Disclosure Statement <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> Reply to Missing Parts/ Incomplete Application <input type="checkbox"/> Reply to Missing Parts under 37 CFR1.52 or 1.53	<input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition <input type="checkbox"/> Petition to Convert to a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund <input type="checkbox"/> CD, Number of CD(s) _____ <input type="checkbox"/> Landscape Table on CD	<input type="checkbox"/> After Allowance Communication to TC <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to TC (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input checked="" type="checkbox"/> Other Enclosure(s) <i>(please identify below):</i> 1) 19 non-patent references 2) Stamped postcard from October 25, 2004 IDS Submission 3) IDS Transmittal & 1449 as submitted (and received by) from October 25, 2004 IDS submission
Remarks <p>In response to the Office Action of March 22, 2005 having an Examiner's request for resubmission of non-patent literature, enclosed herewith are the 19 references originally included in the IDS submission of October 25, 2004 which have yet to be considered. It is believed no fee is due for this resubmission. However, in the event a fee is due, kindly charge that fee to deposit account number 20-0782. To facilitate that charge, a duplicate copy of this letter is enclosed</p>		

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm	Moser, Patterson & Sheridan, LLP		
Signature			
Printed Name	Kin-Wah Tong, Esq.		
Date	July 22, 2005	Reg. No.	39,400

CERTIFICATE OF TRANSMISSION/MAILING

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Signature	
Typed or printed name	Tara Carter
Date	July 22, 2005

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Office hereby acknowledges receipt of the following:

Office hereby acknowledges receipt of the following: PTO 1449

- 1) Information Disclosure Statement and PTO 1449
- 2) Copies of 38 References
- 3) Transmittal Letter
- 4) Fee Transmittal Letter
- 5) Return Receipt Postcard
- 6) First Class Mailing Certificate dated October 21, 2004

Applicant: de Jesus Valdes, et al.

Serial No.: 09/944,788 Filed: August 31, 2001

Title: PROBABILISTIC ALERT CORRELATION

Docket No: SRI/4190-4 Conf No.

Postcard Log # 20,001

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✓
Applicant: de Jesus Valdes, et al.

Serial No.: 09/944,788 Filed: August 31, 2001

Title: PROBABILISTIC ALERT CORRELATION

Docket No: SRI/4190-4 Conf No.

Postcard Log # 20,001



TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT

Under 37 CFR 1.97(b), (c), or (d)

Docket No.

SRI/4190-4

In re Application of: de Jesus Valdes, et al.

Serial No.
09/944,788Filing Date
August 31, 2001Examiner
Sherr, Cristina O.Group Art Unit
302

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JUL 25 2005
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PROBABILISTIC ALERT CORRELATION

OCT 28 2004

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Alexandria, VA 22313-1450

GROUP 3600

37 CFR 1.97(b)

The Information Disclosure Statement submitted herewith is being filed within three months of the filing of a national application other than a continued prosecution application under 37 CFR 1.53(d); within three months of the date of entry of the national stage as set forth in 37 CFR 1.491 in an international application; before the mailing of a first Office Action on the merits; or before the mailing of a first Office Action after the filing of a request for continued examination under 37 CFR 1.114.

37 CFR 1.97(c)

2. The Information Disclosure Statement submitted herewith is being filed after the period specified in 37 CFR 1.97(b), but prior to the mailing date of a Final Action under 37 CFR 1.113, a Notice of Allowance under 37 CFR 1.311, or an Action that otherwise closes prosecution in the application, and is accompanied by the statement or fee as indicated below.

37 CFR 1.97(d)

3. The Information Disclosure Statement submitted herewith is being filed after the period specified in 37 CFR 1.97(c), but on or before payment of the issue fee and is accompanied by the statement and fee as indicated below.

Required Statements and/or Fees Under 37 CFR 1.97(c) or (d)

Each item of information contained in the accompanying Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the Information Disclosure Statement. (37 CFR 1.97(e)(1))

No item of information in the accompanying Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the undersigned person, after making reasonable inquiry, no item of information contained in the accompanying Information Disclosure Statement was known to any individual designated in 37 CFR 1.56(c) more than three months prior to the filing of the Information Disclosure Statement. (37 CFR 1.97(e)(2))

The fee set forth in 37 CFR 1.17(p). Please credit any overpayment or charge any insufficiencies to deposit account number 20-0782.

37 CFR §1.704(d)

4. Each item of information in the accompanying Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart application and this communication was not received by any individual designated in 37 CFR §1.56(c) more than thirty days prior to the filing of the Information Disclosure Statement.

KIN-WAH TONG, ESQ

Reg. No. 39,400

Moser, Patterson & Sheridan, LLP
Attorneys at Law
595 Shrewsbury Avenue, Suite 100
Shrewsbury, New Jersey 07702
732-530-9404

Dated: 10/20/04

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Signature of Person Mailing Correspondence

Barbara J. Jackson

Typed or Printed Name of Person Mailing Correspondence

FEE TRANSMITTAL for FY 2004

Effective 10/01/2003. Patent fees are subject to annual revision.

 Applicant Claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT (\$)

180

Complete if Known	
Application Number	09/944,788
Filing Date	08/31/2001
First Named Inventor	De Jesus Valdes, et al.
Examiner Name	Sherr, Cristina O.
Group / Art Unit	3621
Attorney Docket No.	SRI/4180-4

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GROUP 3600

METHOD OF PAYMENT (check all that apply)

 Check Credit Card Money Other None
Order
 Deposit Account

Deposit Account Number

Deposit Account Name

The Director is authorized to: (Check all that apply)

 Charge fee(s) indicated below Credit any overpayments
 Charge any additional fee(s) or any underpayment of fee(s)
 Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account

FEE CALCULATION

1. BASIC FILING FEE

Large Entity	Small Entity	Fee Code (\$)	Fee Code (\$)	Fee Description	Fee Paid
1001	770	2001	385	Utility filing fee	<input type="text"/>
1002	340	2002	170	Design filing fee	<input type="text"/>
1003	530	2003	265	Plant filing fee	<input type="text"/>
1004	770	2004	385	Reissue filing fee	<input type="text"/>
1005	160	2005	80	Provisional filing fee	<input type="text"/>
SUBTOTAL (1)				(\$0)	

2. EXTRA CLAIM FEES

Total Claims	Independent Claims	Multiple Dependent	Extra Claims	Fee from below	Fee Paid
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				<input type="text"/>	<input type="text"/>

Large Entity	Small Entity	Fee Code (\$)	Fee Description	Fee Paid
1202	18	2202	9	Claims in excess of 20
1201	86	2201	43	Independent claims in excess of 3
1203	290	2203	145	Multiple dependent claim, if not paid
1204	86	2204	43	" Reissue independent claims over original patent
1205	18	2205	9	" Reissue claims in excess of 20 and over original patent
SUBTOTAL (2)				(\$0)

*or number previously paid, if greater; For Reissues, see above

FEE CALCULATION (continued)

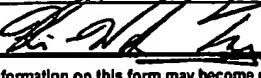
3. ADDITIONAL FEES

Large Entity	Small Entity	Fee Code (\$)	Fee Code (\$)	Fee Description	Fee Paid
1051	130	2051	65	Surcharge - late filing fee or oath	<input type="text"/>
1052	50	2052	25	Surcharge - late provisional filing fee or cover sheet	<input type="text"/>
1053	130	1053	130	Non-English specification	<input type="text"/>
1812	2,520	1812	2,520	For filing a request for reexamination	<input type="text"/>
1804	920*	1804	920*	Requesting publication of SIR prior to Examiner action	<input type="text"/>
1805	1,840*	1805	1,840*	Requesting publication of SIR after Examiner action	<input type="text"/>
1251	110	2251	55	Extension for reply within first month	<input type="text"/>
1252	420	2252	210	Extension for reply within second month	<input type="text"/>
1253	950	2253	475	Extension for reply within third month	<input type="text"/>
1254	1,480	2254	740	Extension for reply within fourth month	<input type="text"/>
1255	2,010	2255	1,005	Extension for reply within fifth month	<input type="text"/>
1401	330	2401	165	Notice of Appeal	<input type="text"/>
1402	330	2402	165	Filing a brief in support of an appeal	<input type="text"/>
1403	290	2403	145	Request for oral hearing	<input type="text"/>
1451	1,510	2451	1,510	Petition to institute a public use proceeding	<input type="text"/>
1452	110	2452	55	Petition to revive - unavoidable	<input type="text"/>
1453	1,330	2453	665	Petition to revive - unintentional	<input type="text"/>
1501	1,330	2501	665	Utility issue fee (or reissue)	<input type="text"/>
1502	480	2502	240	Design issue fee	<input type="text"/>
1503	640	2503	320	Plant issue fee	<input type="text"/>
1460	130	1460	130	Petitions to the Commissioner	<input type="text"/>
1807	50	1807	50	Processing fee under 37 CFR 1.17 (q)	<input type="text"/>
1806	180	1806	180	Submission of Information Disclosure Stmt	180
8021	40	8021	40	Recording each patent assignment per property (times number of properties)	<input type="text"/>
1809	770	2809	385	Filing a submission after final rejection (37 CFR § 1.129(a))	<input type="text"/>
1810	770	2810	385	For each additional invention to be examined (37 CFR § 1.129(b))	<input type="text"/>
1801	770	2801	385	Request for Continued Examination (RCE)	<input type="text"/>
1802	900	1802	900	Request for expedited examination of a design application	<input type="text"/>
Other fee (specify) _____					

*Reduced by Basic Filing Fee Paid

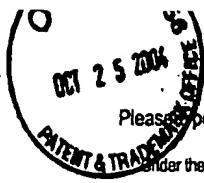
SUBTOTAL (3)

(\$180)

SUBMITTED BY					
Name (Print/Type)	Kin-Wah Tong		Registration No. Attorney/Agent)	39,400	Telephone
Signature				Date	10/30/04

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		Application Number	09/944,788
		Filing Date	08/31/2001
		First Named Inventor	De Jesus Valdes, et al.
		Group Art Unit	3621
		Examiner Name	Sherr, Cristina O.
Total Number of Pages in This Submission	6	Attorney Docket Number	SRI/4190-4

ENCLOSURES (check all that apply)

<input checked="" type="checkbox"/> Fee Transmittal Form <input type="checkbox"/> Fee Attached <input type="checkbox"/> Amendment / Response <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input checked="" type="checkbox"/> Information Disclosure Statement <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> Response to Missing Parts/ Incomplete Application <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition <input type="checkbox"/> Petition to Convert to a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund <input type="checkbox"/> CD, Number of CD(s) _____	<input type="checkbox"/> After Allowance Communication to Group <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input checked="" type="checkbox"/> Other Enclosure(s) <small>(please identify below):</small> Copies of References; Return Receipt Postcard
Remarks		

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm or Individual name	Kin-Wah Tong, Esq. Moser, Patterson & Sheridan, LLP	
Signature		
Date	10/20/04	

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Signature		Date	10-21-2004

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INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary)

Sheet 1

of 3

Application Number	09/944,788
Filing Date	08/31/2001
First Named Inventor	De Jesus Valdes, et al.
Group Art Unit	3621
Examiner Name	Sherr, Cristina O.
Attorney Docket Number	SRI/4190-4

Submission Date

U.S. PATENT DOCUMENTS					
Examiner Initials*	Cite No. ¹	Document Number	Publication Date	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code ² (if known)	MM-DD-YYYY		
	A1	US-5,440,498	08-08-95	Timm	
	A2	US-5,475,365	12-12-95	Hoseit et al.	
	A3	US-5,517,429	05-14-96	Harrison	
	A4	US-5,568,471	10-22-96	Hershey et al.	
	A5	US-5,704,017	12-30-97	Heckerman et al.	
	A6	US-5,737,319	04-07-98	Croslin et al.	
	A7	US-6,092,194	07-18-00	Touboul	
	A8	US-6,263,441	07-17-01	Cromer et al	
	A9	US-6,279,113	08-21-01	Vaidya, V.	
	A10	US-6,311,274	10-30-01	Day	
	A11	US-6,321,338	11-20-01	Porras et al	
	A12	US-6,353,385	03-05-02	Molini et al.	
	A13	US-6,370,648	04-09-02	Diep, T	
	A14	US-6,408,391	06-18-02	Huff, et al.	
	A15	US-6,499,107	12-24-02	Gleichauf et al.	
	A16	US-6,502,082	12-31-02	Toyama et al.	
	A17	US-6,701,459	03-02-04	Ramanathan et al.	
	A18	US-6,704,874	03-09-04	Porras et al.	
	A19	US-6,707,795	03-16-04	Noorhosseini et al.	

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FOREIGN PATENT DOCUMENTS					
Examiner Initials*	Cite No. ¹	Foreign Patent Document	Publication Date	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Country Code ² -Number ⁴ -Kind Code ³ (if known)	MM-DD-YYYY		
	B1				
	B2				
	B3				
	B4				

Examiner	Date Considered

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. 1 Applicant's unique citation designation number (optional). 2 See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. 3 Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). 4 For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. 5 Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. 6 Applicant is to place a check mark here if English language Translation is attached.

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JUL 25 2005
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JC56INFORMATION DISCLOSURE
STATEMENT BY APPLICANT

(Use as many sheets as necessary)

Sheet 2

3

Application Number	09/944,788
Filing Date	08/31/2001
First Named Inventor	De Jesus Valdes, et al.
Group Art Unit	3621
Examiner Name	Sherr, Cristina O.
Attorney Docket Number	SRI/4190-4

Submission Date

NON PATENT LITERATURE DOCUMENTS			
Examiner Initials*	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published	T ²
✓	C1	Anderson, D. et al., "Next-generation Intrusion Detection Expert System (NIDES) A Summary," May 1995	
✓	C2	Anderson, et al., "Next-generation Intrusion Detection Expert System (NIDES) Software Users Manual", December 1994	
✓	C3	Cheeseman, et al., "Bayesian Classification (AutoClass): Theory and Results," in Advances in Knowledge Discovery and Data Mining, Usama M. Fayyad, Gregory Piatetsky-Shapiro, Padhraic Smyth, & Ramasamy Uthurusamy, Eds. AAAI Press/MIT Press, 1996. pg 61-83	
✓	C4	Decasper, et al., "Router Plugins A Software Architecture for Next Generation Routers," Proceedings of the ACM SIGCOMM '98 conference on Applications, technologies, architectures, and protocols for computer communication, Vancouver, British Columbia, Canada, Pages: 229 – 240	
✓	C5	DuMouchel, W., "Computer Intrusion Detection Based on Bayes Factors for Comparing Command Transition Probabilities," NISS, Technical Report Number 91, February 1999	
✓	C6	Frank, J., "Artificial Intelligence and Intrusion Detection: Current and Future Directions," Division of Computer Science, University of California at Davis, June 1994	
✓	C7	Hoagland, et al., "Viewing IDS Alerts: Lessons from SnortSnarf," In Proceedings of DISCEX II, June 2001, 374-386	
✓	C8	Lindquist, et al., "Detecting Computer and Network Misuse Through the Production-Based Expert System Toolset (P-BEST)," in Proceedings of the 1999 Symposium on Security and Privacy, Oakland, CA May 9-12, 1999	
✓	C9	Makris, J., "Firewall Services: More Bark Than Bite," Data Communications, 28 (3), March 1999, 36-50	
✓	C10	Neumann, et al., "Experience with EMERALD to Date," Proceedings of the Workshop on Intrusion Detection and Network Monitoring, 73 – 80, 1999	
✓	C11	Petersen, K., "IDA- Intrusion Detection Alert," Proc. of the IEEE Annual International Computer Software and Applications Conference, Chicago, IL, Sept. 1992, 306 - 311	
✓	C12	Rowland, C., "Network Attack Trend Analysis," allegedly dated November 22, 1997, Newsgroups: muc.list.bugtraq	
✓	C13	Ryan, et al., "Intrusion Detection with Neural Networks," Advances in Neural Information Processing Systems 10, Cambridge, MA, MIT Press, 1998	

Examiner

Date Considered

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. 1 Applicant's unique citation designation number (optional). 2 Applicant is to place a check mark here if English language Translation is attached.

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Substitute for form 1449B/PTO

**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**

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NON-PATENT LITERATURE DOCUMENTS

NON PATENT LITERATURE DOCUMENTS				
Examiner Initials*	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published		T ²
✓	C14	Complaint for Declaratory Judgment, Internet Security Systems, Inc., v. SRI International, Inc., US District Court, Northern District of Georgia, Civil Action No. 104 CV 2402, filed August 17, 2004		
✓	C15	Complaint for Patent Infringement; Demand for Jury, SRI International, Inc. v. Internet Security Systems, Inc, et al., US District Court, District of Delaware, Case No. 04-1199, Filed August 26, 2004		
✓	C16	The RealSecure 1.2 Manual web.archive.org/web/19970709202745/www.iss.net/eval/manuals.html , alleged dated 9 July 1997		
✓	C17	"Real-time attack recognition and response: A solution for tightening network security", Internet Security Systems, web.archive.org/web/19970721183811/iss.net/prod/whitepaper.html , allegedly dated July 21, 1997		
✓	C18	Roesch, M., "SNORT- Lightweight Intrusion Detection for Networks." Proceedings of LISA '99: 13th Systems Administration Conference, November 7-12, 1999, Seattle, WA 229-238		
✓	C19	Symantec Corporation's Answer and Counterclaims to SRI International, Inc.'s Complaint, SRI International, Inc. v. Internet Security Systems, Inc. et al., US District Court, District of Delaware, Case No. 04-1199, Filed October 15, 2004		
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